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ABSTRACT

The content is outlined and the terminal and enabling objectives are provided for a curriculum area on authority and responsibility (see EM 010 432, EM 010 433, EM 010 458, and EM 010 468), part of an introduction to psychology and leadership course for the United States Naval Academy (see the final reports which summarize the course development project, EM 010 418, EM 010 419, and EM 010 484). EM 010 420 through EM 010 447 and EM 010 451 through EM 010 512 are related documents. (SH)

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UNITED STATES NAVAL ACADEMY

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

MAY 1971

PART SIX

AUTHORITY AND RESPONSIBILITY

CONTENT OUTLINE

TERMINAL AND ENABLING OBJECTIVES

EM 010 506

Westinghouse Learning Corporation
Annapolis Division
2083 West Street
Annapolis, Maryland 21401

United States Naval Academy

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INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Content Outline

Terminal and Enabling Objectives

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EDUCATION & WELFARE
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WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

United States Naval Academy

ED 071361

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Segment I

Concept of Authority

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

CONCEPT OF AUTHORITY

A. Introduction

1. Extract from U.S. Navy Regulations

1317, Authority Over Subordinates

All officers of the naval service, of whatever designation or corps, shall have all the necessary authority for the performance of their duties, and shall be obeyed by all persons, of whatever designation or corps, who are, in accordance with these regulations and orders from competent authority, subordinate to them.

2. The terms authority and responsibility have been mentioned earlier in the course and probably encountered many times by every student. Part Six will carefully define each of the terms, determine the concepts to be used regarding these terms, and examine the relationship between these terms and effective leadership.

B. Authority

1. Definitions

a. The power to direct the activities of others (Hays and Thomas, p. 305)

b. The power or right to act, to command, or to exact action by others (Terry, p. 333)

c. The power to direct and control the actions of others (Koontz and O'Donnell, p. 3)

d. The delegated right to make decisions in order to fulfill a responsibility, the right to require actions of others, and the right of an individual to discharge those obligations for which he is responsible (NAVPERS 18371A, p. 3)

e. The accepted right to engage in certain actions (Gross, p. 74)

f. A superior's capacity, on the basis of his formal position, to make decisions affecting the behavior of subordinates (Longenecker, p. 396)

2. Concept of authority

a. The power to command others to do or not to do a certain thing which the possessor of the authority deems appropriate and necessary to realize objectives. This concept implies possession of power to impose sanctions and to coerce. (Haimann, p. 38)

b. "Right to command" does not necessarily connote the capacity to command. (Pfiffner, p. 75)

c. An interpersonal relationship in which one individual (the subordinate) accepts as legitimate a decision made by another individual (the superior), permitting that decision to affect his behavior (Shull, p. 130)

d. The power which operates in and through an authority relationship is always in some measure the joint creation of the bearer and subjects of authority, i.e., the power of the bearer of authority grows out of the acceptance of his direction and guidance as bearer of authority by the subjects of his authority, not the other way around. (Shull, p. 131)

e. Authority refers to a relationship between persons and not to an attribute of one individual.

1) It involves exercise of social control which rests on the willing compliance of subordinates to certain directives of the superior.

2) He need not coerce or persuade subordinates to influence them because they have accepted as legitimate the principle that some of their actions should be governed by his decisions. (Peabody, p. 40-41)

f. Members of organizations recognize the right of command as an inherent part of certain managerial positions (position of authority). Employees may, in fact, resent officiousness or attempts by fellow workers to act authoritatively when they do not hold positions of real authority. In other words, there is also a recognition that authority does not reside in certain positions. (Longenecker, p. 397)

g. The concept of authority employed here incorporates the idea of power or ability to secure compliance with a superior's orders. Authority might be called institutionalized power to emphasize its connection with the formal organization and to distinguish it from other types of power. Members of organizations

recognize the power of managers because of their acceptance of the formal organization and its managerial positions. This does not imply that it is absolute power, having no limitations, but the position taken here is that authority must have some degree of effectiveness to be recognized as authority. Otherwise, it is a hollow, meaningless, "paper" right of command. (Longenecker, p. 397)

C. Relationship of Authority to Power - Influence

1. Authority, in the official hierarchical sense, is the right to command, while power is capacity to secure the dominance of one's values or goals. (Pfiffner, p. 77)

2. Man has always resorted to power to support authority. (Newman, p. 243)

3. Determination of personal influence (of authority holder) rests with subordinate, i.e., without personal influence, no amount of authority can produce an outstanding commander. (HumRRO, p. 53)

4. The degree of leadership skill demonstrated by a commander governs the amount of influence he will exercise over subordinates beyond the power deriving from his formal authority. (HumRRO, p. 56)

5. The individual who exercises influnce may offer advice, make suggestions, enter into discussions, persuade, or use propaganda, but he does not exercise authority; instead, he indirectly affects the behavior of another. (Shull, p. 135)

D. Basis of Authority

1. Formal authority theory (Haimann, pp. 39-40; Koontz and O'Donnell, p. 60-61)

a. Premise: Authority is delegated to occupants of a position in a hierarchy. Society, through government, is the source from which authority flows to ownership and then to management, power transmitted from basic social institutions to individual leaders.

1) Source: The institution of private property, in the legal aspect as guaranteed by our legal system and the U.S. Constitution, vesting in a person power over material resources

b. Applied to a business enterprise

1) Authority originates at the highest level of the organization (of private property), the owners.

2) Authority is delegated by the owners to:

a) Their representatives

b) The directors

c) President

d) Managers

e) Hierarchy of various subordinates

c. Applied to social groups (where private property does not exist)

1) Authority originates at the fundamental levels of an institution.

a) Basic folkways

b) Mores of a particular group

c. Example: In political or religious organizations, the authority originates from social institutions, the system of government, the democratic process, etc.

2) The institution responds to group desires, objectives, and practices.

d. Applied to the military establishment (HumRRO, p. 46)

1) Authority originates through:

a) Traditions

b) Customs

c) Regulations

2) Theoretically, all authority possessed by the military establishment is lodged with the Commander-in-Chief.

3) Practically, there is successive delegation of authority down the chain of command.

a) Various officers have the necessary power to ensure compliance with directives, regulations, policies, etc.

b) An officer's possession of formal authority merely reflects the organizational position

to which he is assigned, or his rank, i.e., authority is not actually granted to individuals, but to offices or organizational positions.

c) Coercive power: Officers are empowered to use stipulated degrees of sanctions (if necessary) to obtain compliance with legitimate directives, orders, and policies.

(1) Enforcement is approved by the nation, so long as it complies with the total pattern of laws and customs in the society at large.

(2) Delegated to some degree at every level in the chain of command

(3) Coercive power of a Navy division officer or a Marine platoon leader is very limited.

(a) Punishment authority is limited to the commanding officer. The junior officer can administer additional instruction as corrective action, but must not infringe on the commanding officer's prerogative to administer all punishment.

(b) Counselling, admonishment or completion of unfinished work after hours are tools available to junior officers. If these measures fail, recourse to placing offender on report to commanding officer may be required.

2. Acceptance theory of authority (Haimann, p. 40; Koontz and O'Donnell, p. 51; Terry, p. 335)

a. Premise: A leader has only that authority which his subordinates are willing to let him exercise (on a continuous basis).

1) Statements of authorities concerning the acceptance theory

a) "The only real authority a man has is that which his subordinates are willing to let him exercise. This view holds that a manager has no real authority until his subordinates confer it on him." (Chester Barnard)

b) The sphere of authority possessed by a superior is defined for him by the sphere of acceptance of his subordinates, i.e., to be effective, formal authority must coincide with authority determined by its acceptance.

c) "In a very real sense, the leader, the superior, is merely a bus driver whose passengers will leave him unless he takes them in the direction they wish to go." (Herbert Simon)

b. Source: Subordinates confer authority through their acceptance of the leader's power to make and enforce decisions.

c. Concepts concerning application of the acceptance theory (Koontz and O'Donnell, p. 51)

1) If an order is accepted by a subordinate, its authority for him is confirmed or established, i.e., it is admitted as the basis of action.

a) Disobedience of such a communication is a denial of authority.

2) A subordinate may accept decisions and orders of his leader in most matters, but will reject his authority in certain matters and choose to disobey, e.g., subordinate will accept unexpected orders which may not make much sense to him; simply because he accepts the authority of his senior. However, if he is ordered to do something which he deems morally wrong or harmful to him, he will reject the authority of his senior and refuse to obey.

d. Effective leadership, civilian or military, stems from the leader's ability to win support through:

1) Knowledge of human skills

2) Technical skills

3) Ability to communicate

3. Competence theory (Koontz and O'Donnell, p. 53; Haimann, p. 44)

a. Authority is generated by personal qualities or technical competence (especially if followers have no technical competence).

1) There may have been no actual delegation of authority.

2) Individuals respond as subordinates through sheer force of another's personality or knowledge.

3) Authority generated by competence or personal qualities cannot be delegated or assigned; it adheres to the individual.

4. Synthesis of theories (Knudson, p. 135)

a. Acceptance theory is not accepted as universally valid, although most writers on the subject seem to accept the theory as relevant to the authority relationship.

b. Formal authority theory is disputed by those behavior theorists who espouse the acceptance theory.

c. A synthesis is suggested because the two theories may not be mutually exclusive: Authority depends essentially on both the traditional social/ownership foundation and the acceptance by subordinates functioning as a group rather than as individual members.

5. Relationship of theories to military (HumRRO, p. 48)

a. Military activities must rest upon an acceptance of authority by personnel.

E. Limits of Authority (Haimann, p. 44; Terry, p. 302)

1. Definition: Authority is limited, like all social institutions, by such restrictions as codes, mores and folkways, and laws.

2. Specific limitations

a. Articles of incorporation set limits to the authority of officers in a corporation.

b. Bylaws may place further restrictions on the manager's authority.

c. The military leader's authority is restricted by objectives, policies, procedures, programs, and regulations, e.g., junior officer's control of rewards and punishments is extremely limited.

d. Limitations are spelled out in the assignment of duties and delegation of authority.

3. Tapering concept: The lower down in the chain of command, the more restrictions on the leader's authority; the higher up in the hierarchy, the less limitations and the broader the scope of authority.

a. Construct: Restrictions and limitations of authority

[Note: See diagram on following page.]

4. Constraints which limit authority: Subject to changes with time and developments

a. Biological constraints

1) Human beings do not have the capacity to do certain things, e.g., be in two places at the same time.

2) No subordinate should be expected to do the impossible.

b. Physical constraints

1) Factors such as geography, climate, and physical resources are beyond the authority of a leader and may tend to limit his exercise of authority.

2) Environmental surroundings may alter the authority of a leader, e.g., a captain aboard ship has different authority from what he would have if the ship had sunk, and he and his crew were on an isolated island.

c. Social limitations (Terry, p. 337)

1) Ordered activities must be in keeping with beliefs, customs, codes, creeds, and habits of the work group.

2) Such limitations are imposed by the organization and by the society in which it operates.

d. Technological constraints

1) "State-of-the-art" can limit a leader's authority.

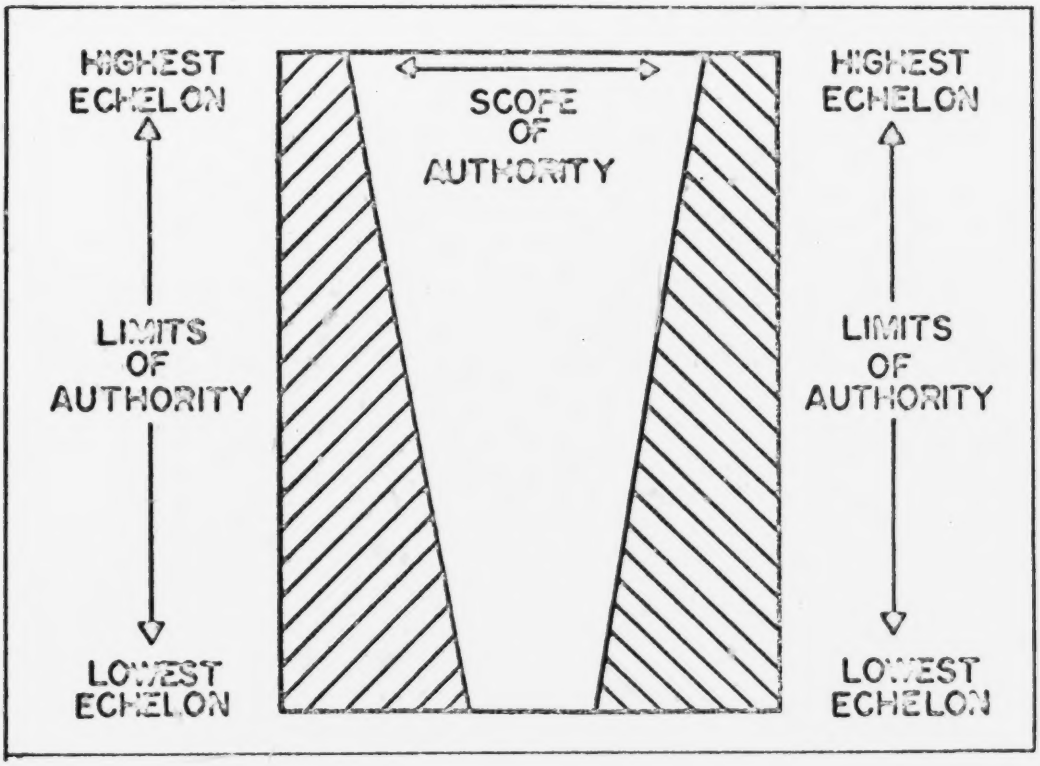
2) Mechanical breakdowns

3) Technological capability of leader and subordinates (education and experience)

e. Economic limitations

1) Objectives which might be accomplished are not, because economic resources limited the leader's actions.

f. Ethnic and related factors (Albers, p. 242)



Construct--Restrictions and Limitations of Authority

1) One executive's "position authority" may command greater power than that of another because of differences in ethnic background.

g. Status incongruency

1) Age/sex may not appear to be congruent with authority position and may detract from authority of the leader, e.g., a young junior officer who is working with chiefs who are many years older.

F. Authority and Status (Longenecker, p. 326; Pfiffner, p. 273)

1. Status

a. Defintion: The totality of attributes that rank and relate to individuals in an organization. (Albers, p. 227)

b. Status is concerned with a person's prestige or standing within a group.

c. Functions of status in an organization

1) To maintain effective and authoritative communications within organizations.

2) To provide organizational incentives

3) To develop a greater sense of responsibility

d. Symbols of status

1) Title and pay

2) Ceremonies of induction and appointment

3) Perquisites

4) Physical arrangements

2. Relationship of status - authority

a. Status plays an important part in maintaining authority in organizations.

1) A person does not like to take orders from an equal.

2) Status sytem makes compliance easier because a degree of inequality is rationalized.

3) Instrumentalities of status impute qualities that reinforce the authority relationship.

a) Rank insignia in the Navy allows subordinates to detect the status of an individual immediately, even though he knows little or nothing about the individual.

b) The need to give authority to communications in an emergency situation, such as battle stations, is filled by the recognized military status sytem.

4) The higher a man's status, the greater his influence.

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Outline Reference	Terminal and Enabling Objectives	
A.1.	Given a description of a military situation in which (for example) a staff corps officer is exercising authority as a shore patrol officer, the M will be able to select, from several choices, the bases of his authority over the enlisted personnel ashore.	TO 1
A.1.	The M will be able to select, from several choices, the statement which correctly describes the authority and obedience due officers of the naval service according to U.S. Navy Regulations.	EO-1
B.1.	The M will be able to select, from several choices, the statement(s) which correctly defines authority.	EO-2
B.2.	Given a description of a military situation in which one man fails to respond, or responds to a request from another man to act in a certain way, the M will be able to select, from several choices, the statement which best explains the behavior according to one of the concepts of authority	TO 2
B.2.e.f.	Given a description of a military situation in which an enlisted man fails to respond to another enlisted man's request to act in a certain way, but then responds to the same request when made by a senior enlisted man, the M will be able to select, from several choices, the statement which best explains the behavior of the enlisted man. (The concept of rejecting peer authority, but accepting hierarchical position authority.)	EO-1
B.2.	The M will be able to select, from several choices, the correct statements of several differing concepts of authority.	EO-2

Outline Reference	Terminal and Enabling Objectives	
C.	Given a description of a military situation in which an officer is exercising authority and obtaining obedience, the M will be able to analyze the situation and select, from several choices, the statement which best describes the power the officer is utilizing which is most probably causing the subordinates to obey in the manner described.	TO 3
C.1.2.3.4.	The M will be able to select, from several choices, the relationship of authority to: a. Power b. Power (in a hierarchical sense) c. Personal influence d. The importance of leadership skills	EO-1
C.5	The M will be able to select, from several choices, the statement which best describes the limit of the power over the behavior of others of a person who exercises only influence.	EO-2
D.1.	The M will be able to select, from several choices, the paragraph which best describes the origin of authority according to formal authority theory as applied to: a. Business enterprise b. Social groups c. The military establishment	TO 4
D.1.a.	The M will be able to select, from several choices, the statements which best describe the premise and the source of formal authority theory.	EO-1
D.1.d.2)	The M will be able to identify, from several choices, the theoretical source of authority in the military.	EO-2

Outline Reference	Terminal and Enabling Objectives	
D.1.d.3)	The M will be able to select, from several choices, the statement which correctly explains how authority passes from the theoretical source of authority to lower echelon leaders.	TO 4 EO-3
D.1.d.3)b)	When required to specify the recipient of delegated military power, the M will be able to select, from several choices, the statement which correctly describes delegation of authority to a position of rank or an office rather than a person.	EO-4
D.1.d.3)c)	The M will be able to identify, from several choices, the statement which best describes the function of coercive power delegated to certain officers.	EO-5
D.1.d.3)c)(3)	Given a description of a military situation in which a junior officer is faced with an infraction of regulations by one of his men, the M will be able to select, from several choices, the action the junior officer can take.	TO 5
D.1.d.3)c)(3)(a)	The M will be able to select, from several choices, the statement which best defines the limited use of punishment to reinforce authority by a naval service junior officer.	EO-1
D.1.d.3)c)(b)	The M will be able to select, from several choices, the statement which outlines the coercive power tools available to a naval service junior officer.	EO-2

Outline Reference	Terminal and Enabling Objectives	
D.2.d.	The M will be able to select, from several choices, the statement which correctly describes why effective leadership becomes significant under the acceptance theory of of authority.	TO 6
D.2.	The M will be able to select, from several choices, the statement which best describes the premise and the source of authority according to the acceptance theory of authority.	EO-1
D.2.a.1)b)	The M will be able to select, from several choices, the statement which correctly expresses the manner in which the sphere of authority of a leader is defined. (The coincidence of authority and its acceptance)	EO-2
D.2.c.	The M will be able to select, from several choices, the statement which best explains the selective acceptance or rejection of authority by a subordinate.	EO-3
D.3.	Given a description of a military situation in which a subordinate without formal authority is exercising authority, the M will be able to identify this as an example of the competence theory.	TO 7
D.3.a.	The M will be able to select, from several choices, the statement which correctly describes the factors involved in the competence theory of authority.	EO-1
D.3.a.	The M will be able to identify, from several choices, the statement which correctly identifies the source of authority according to the competence theory.	EO-2

Outline Reference	Terminal and Enabling Objectives	
D.3.a.	Given a description of a military situation illustrating the reaction of subordinates to the competence or incompetence of a leader (e.g., competent UDT man seeking volunteers for hazardous mission; pilots or crewmen avoiding flight with an incompetent pilot), the M will be able to select, from several choices, the theoretical cause of the reaction of the subordinates.	TO 7 EO-3
D.3.a.	The M will be able to identify, from several choices, the statements which explain why individuals respond to derived authority according to the competence theory.	EO-4
D.3.a.3)	The M will be able to identify, from several choices, the statement which correctly relates delegation of authority by the possessor of authority according to the competence theory.	EO-5
D.4.5.	Given a situation of a Midshipman or an officer taking the oath of office, the M will be able to select, from several choices, the statement which best describes the theoretical bases of authority illustrated by their action. (Synthesis of formal, acceptance and possibly competence theories)	TO 8
D.4.	Given several statements, the M will be able to identify the statement which correctly defines the relationship of a synthesis of theories of authority to the military.	EO-1

Outline Reference	Terminal and Enabling Objectives	
D.	Given descriptions of the exercise of military authority under varying conditions, the M will be able to identify the basis of the subordinate response as exemplifying one of the theoretical approaches to authority.	TO 9
D.4.c.	Given several statements about the relationship of the formal authority and acceptance theories, the M will be able to select, from several choices, the statement which correctly relates them. (Not mutually exclusive)	TO 10
D.5.	The M will be able to select, from several choices, the statement(s) which best describe(s) the relationship between the authority of a JO, his coercive power, and acceptance of his exercise of authority.	TO 11
E.2.	Given a description of a military situation, in which a leader's authority is limited, the M will be able to select, from several choices, the type of the limit to authority in the situation.	TO 12
E.1.	The M will be able to identify, from several choices, the statement which correctly defines the limits of authority.	EO-1
E.2.	Given a list of statements, the M will be able to select those which describe specific limitations of authority.	EO-2

Outline Reference	Terminal and Enabling Objectives	
E.3.	The M will be able to identify, from several choices, the statement which correctly identifies the tapering concept of authority.	TO 12 EO-3
E.4.	Given a description of a military situation in which a leader's exercise of authority is constrained, the M will be able to identify, from several choices, the statement which correctly identifies the constraint which limits authority in the situation.	TO 13
E.4.	Given a list of terms, the M will be able to select those which identify constraints which limit authority.	EO-1
E.4.a.	The M will be able to identify, from several choices, the statement which best explains a biological constraint on authority.	EO-2
E.4.b.	Given a list of terms, the M will be able to select those which indicate physical constraints which limit a leader's authority.	EO-3
E.4.b.2)	The M will be able to identify, from several choices, the statement which correctly describes how environmental surroundings may alter a leader's authority.	EO-4
E.4.c.	Given a list of terms, the M will be able to select those which indicate social limitations on authority.	EO-5
E.4.c.2)	The M will be able to identify, from several choices, the statement which correctly identifies the source of social limitations on authority.	EO-6

Outline Reference	Terminal and Enabling Objectives	
E.4.d.	The M will be able to identify, from several choices, the statement which correctly defines technical constraints on authority.	TO 13 EO-7
E.4.e.	The M will be able to identify, from several choices, the statement which best describes economic limitations on authority.	EO-8
E.4.f.	The M will be able to identify, from several choices, the statement which correctly describes ethnic factors as a constraint on authority.	EO-9
E.4.g.	The M will be able to identify, from several choices, the statement which correctly defines status incongruency.	EO-10
E.4.b.2)	Given a description of a military situation, in which a military leader and his group are subjected to environmental change and alteration of leader's authority, the M will be able to select, from several choices, the reason why the leader's authority was altered.	TO 14
E.4.g.	Given a description of a military situation in which a leader does not have status congruency, the M will be able to select, from several choices, the constraint which is limiting the leader's authority in the siutation (e.g., poor physical fitness for JDT or platoon leader).	TO 15

Outline Reference	Terminal and Enabling Objectives	
F.1.d.	Given a description of a military situation illustrating a uniformed officer in his office counseling a subordinate, the M will be able to select, from several choices, the statement which correctly identifies the factors in the situation which give the leader status.	TO 16
F.1.a.	The M will be able to select, from several choices, the statement which correctly defines status.	EO-1
F.1.c.	Given a list of statements, the M will be able to identify those which describe functions of status in an organization.	EO-2
F.1.d.	Given a list of terms, the M will be able to select those which illustrate symbols of status.	EO-3
F.2.	The M will be able to select, from several choices, the reasons why status helps maintain authority in organizations.	EO-4
F.2.a.3)a)	The M will be able to select, from several choices, the reasons for Navy rank insignia.	EO-5
F.2.a.3)b)	The M will be able to select, from several choices, the function of status system in stress situation.	EO-6

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Segment II

Why People Accept/Resist Authority

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

WHY PEOPLE ACCEPT/RESIST AUTHORITY

A. Why People Accept Authority

1. Prerequisites for acceptance of authority by subordinates

a. A subordinate can accept the authority of a command if he:

1) Understands it.

2) Believes it consistent with organization purpose and not at odds with his own interests.

3) Is mentally and physically able to comply with the authority.

2. Tannenbaum hypothesis: An individual will accept an exercise of authority if the advantages accruing to him from accepting, plus the disadvantages accruing to him from not accepting, exceed the advantages accruing to him from not accepting, plus the disadvantages accruing to him from accepting; and, conversely, he will not accept an exercise of authority if the latter factors exceed the former (Robert Tannenbaum). For example, subordinate will respond to order "gang way" but will refuse to obey when told to jump overboard at sea when he perceives no reason for such an order; subordinate will keep accounts as ordered by his senior until such time as he is ordered to falsify the accounts.

a. Possible advantages to subordinate influencing his acceptance of authority.

1) Contribution to attainment of an objective he recognizes as good.

2) Approbation of associates

3) Rewards from superior (includes acceptance by superior)

4) Adherence to moral standards which require submission to duly constituted authority

5) Avoiding acceptance of responsibility (easier to accept directions than make own decision, especially if task is not unpleasant or if decision in question lies outside experience and competence of subordinates) (Longenecker, p. 400)

6) Avoiding possible disciplinary action

b. Disadvantages to a subordinate for non-acceptance of authority.

1) Punishment or fear of punishment by superior

a) Military leader, by law, is authorized certain coercive enforcement authority.

b) Punishment may vary from a reprimand to sentence by courts-martial.

2) Disapprobation by members of organization

3. "Sphere of acceptance" - "zone of indifference"

a. Authority is often accepted where conscious processes are not involved. (Shull, p. 135)

b. Orders (military) are almost always obeyed without conscious choice between compliance and rejection. In such cases, compliance is more or less habitual. (HumRRO, p. 49)

c. Culture in our society has tended to condition an individual to accept authority; so a tendency to accept orders come naturally to most people. (Longenecker, p. 351)

d. Social conditioning reinforces authority relationship in an organization. Obeying a superior has become a habitual mode of behavior for many people. (Albers, p. 221)

e. Barnard terms unquestioning acceptance of authority by an individual as the "zone of indifference." Tannenbaum's "sphere of acceptance" essentially refers to the same situation. (Haimann, p. 42)

B. Resistance to Authority (HumRRO, pp. 277-279)

1. Subordinate's reaction to exercise of authority by senior may run from compliance to defiance.

a. In most military organizations, compliance with orders is more nearly automatic than in business organizations. (Longenecker, p. 403) (This point must be developed fully in materials.)

2. When less than full compliance is achieved (when subordinate could fully comply), subordinate is resisting authority. Resistance may arise from many sources and take numerous forms.

a. Sources of resistance

1) Personal hostility toward leader

2) Honest differences of opinion about:

a) Objectives.

b) Methods.

c) Values.

b. Forms of resistance (Berlo)

1) Rejection (of leader or organization)

2) Distortion (Subordinate hears or understands only what he desires to hear.)

3) Avoidance (Subordinate avoids information or situations to which he objects.)

c. Evidence of resistance in military (HumRRO, p. 227)

1) Open defiance or rejection, e.g., mutiny or direct disobedience of orders

2) Failure to meet schedules

3) Misinterpretation of directives

4) Restrictions in upward communication

5) Apathy ("foot dragging") (Longenecker, p. 447)

a) "Also, unwilling subordinates do not have to go so far as to refuse an assignment or say that they are unwilling to do it. They don't oppose it to the point of getting fired nor do they quit. They don't advertise their opposition; instead, they just don't do much work. They go along half-heartedly and drag their feet. You put up with a good bit of

insubordination of this kind before you fire a man because it is not overt nor is it sharply evident." (Moore, p. 308)

b) Example of apathy or foot-dragging: Unmilitary conduct in ranks by midshipmen enroute to and from parades or during parades is generally motivated by a lack of sympathy with the necessity of proper military bearing at this time.

3. Leader's response to resistance to his authority

a. Variety of possible responses - no single "right way"

1) "Oil on troubled waters" - smooth out resistance

2) Ignore resistance

3) Stamp out resistance

b. Primary concern of leader is to select response which will benefit organization

c. Alternatives available

1) Resistance can be avoided

a) The ineffective leader is prone to transfer subordinates who are not "yes" men.

b) Keep capable subordinates informed, consult with them, and involve them in decision-making process.

2) Resistance can be suppressed

a) Stamp it out--harsh, positive measures

b) Reward compliance--sanction or punish resistance

c) Senior must be cautious to seek source of resistance and attempt correction to avoid aggravating a local problem to general hostility and more serious consequences

3) Force resistance into open

a) Objective is to confront subordinate with problem, discuss it openly, and resolve the difficulty.

b) Care and skill required for this approach to be successful

4) Channel resistance into productive effort

a) Bring subordinate into greater involvement with controversial issues

b) Such participation is motivational for subordinate.

(1) Chance to contribute ideas

(2) Clearer understanding of problems

(3) Clearer definition of objectives

(4) Sense of responsibility for decision

(5) Feeling of satisfaction with course of action agreed upon

4. Must there be resistance to authority? (HumRRO, p. 54)

a. Effect of subordination to authority on initiative and individuality

1) Authority is credited by many with destruction of inititative and individuality.

2) Usually such destructive effects should be attributed to misuse of authority by individuals in positions of authority.

3) Proper application of authority by a good leader will support individuality, initiative, and competence.

4) Subordinate is not required to recognize senior as "better man"; must recognize only an official relationship between him and his senior.

5) Authority, properly applied by an effective leader need not encounter resistance. Resistance usually occurs only when authority is misused by persons in positions of authority.

C. Improper Use of Authority and Its Consequences. (HumRRO, pp. 49-51)

1. Over-reliance on suggestion and persuasion

   a. Sincere but inappropriate attempts to control entirely by suggestion and persuasion despite having authority to use effective control measures

   b. Unit may get so far out of control that extreme measures will be required to get it back in line.

2. Over-reliance on professional competence to control

   a. Proper use of knowledge and skill by a leader is healthy and expected, but it is not a healthy situation when leader feels compelled to display his competence on a continuing basis.

   b. This "one-man show" usurps the responsibilities of his subordinates and is excessive centralization of authority. Causes resentment among subordinates and reduction or destruction of their effectiveness.

3. Leader assumes all his authority comes from his nominal authority and he fails to recognize and use his other bases of influence.

   a. "Position" authority used alone does not ordinarily obtain best performance from subordinates. The overt use of authority is entirely appropriate as a means of influencing behavior under certain circumstances.

   b. Consistent reliance on authority alone results in nominal rather than whole-hearted and willing support of subordinates, minimal performance effectiveness, increased resentment, and reduced initiative.

4. Arrogance with or disregard for subordinates (Shull, p. 319)

   a. When a leader has a position of power over people, traits may appear which are contrary to customary behavior because the leader is concerned with his follower role of pleasing his superior. He then may overlook proper consideration of subordinates.

   b. Arbitrary, demanding treatment of subordinates will result in lowered morale and diminished loyalty of subordinates and reduced performance effectiveness.

D. Principles of Substitutional Authority and Essential Authority (Longenecker, p. 404)

1. The proper application of his authority by a leader must be determined by an assessment of the situation or he may fall into the difficulties outlined in the previous section.

2. Two principles are available to guide the leader in applying his authority.

   a. Substitutional authority

      1) This concept holds that leader's authority is necessary because of weakness or deficiency in subordinates.

      2) Substitutional authority tends to be self-destructive, since subordinate should overcome weakness and deficiency, and decrease need for leader's authority.

   b. Essential authority

      1) This concept holds that a leader's authority is essential in most organizational situations, since there are usually several possible ways to accomplish tasks and objectives, and efficiency demands an effective decision to apply for entire organization.

      2) Such authority is essential even among knowledgeable subordinates.

   c. Use of more authority than required by judicious application of the principles of substitutional authority and essential authority is unjustified infringement upon subordinate's freedom of choice.

   d. Correct leadership requires use of full authority necessary according to the principles.

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Outline Reference	Terminal and Enabling Objectives	
A.1.	Given a description of a military situation which illustrates subordinates rejecting or accepting authority, the M will be able to analyze the situation and select, from several choices, the correct explanation of the subordinate's action (according to one of the prerequisites for acceptance of authority by subordinates).	TO 1
A.1.	The M will be able to select, from several choices, the paragraph which best describes the prerequisites for acceptance of authority by subordinates.	EO-1
A.2.	Given a description of a military situation which illustrates subordinates rejecting or accepting authority, the M will be able to analyze the situation and select, from several choices, the correct explanation of the subordinates' action (according to the Tannenbaum hypothesis).	TO 2
A.2.a.5)	Given a description of a military situation illustrating avoidance of acceptance of responsibility by a leader and his consequent reliance upon and acceptance of the authority of his senior, the M will be able to analyze the situation, and select, from several choices, the reason why the leader acted as he did.	EO-1
A.2.a.b.	The M will be able to select, from several choices, possible advantages and/or disadvantages to a subordinate of accepting and/or rejecting authority.	EO-2

Outline Reference	Terminal and Enabling Objectives	
A.3.	The M will be able to select, from several choices, the statement which best describes the concept "Sphere of Acceptance" - "Zone of Indifference."	EO-3
B.	Given a description of a military situation which illustrates resistance to a leader's authority, the M will be able to analyze the situation and select, from several choices, the form and source of resistance illustrated by the example.	TO. 3
B.1.a.	The M will be able to select, from several choices, the statement which most accurately compares compliance with authority in business organization with compliance in the military.	EO-1
B.2.	The M will be able to select, from several choices, the statement which best describes in general terms the occurrence of resistance to authority.	EO-2
B.2.a.b.	The M will be able to select, from several choices, the statements which best describe the form and source of resistance to authority.	EO-3
B.2.c.	Given a description of a military situation in which evidence of resistance to military authority is illustrated, the M will be able to select, from several choices, the type of evidence of resistance illustrated.	TO 4

Outline Reference	Terminal and Enabling Objectives	
B.3.a.	The M will be able to select, from several choices, the general form of response a leader might employ when he encounters resistance to authority.	TO 4 EO-1
B.	Given a description of a military situation in which a leader encounters resistance to his authority, the M will be able to select, from several possible responses, the response the leader should employ.	TO 5
B.3.b.	The M will be able to select, from several choices, the reason why response selected above is the most desirable solution (best for organization).	EO-1
B.3.c.1)	The M will be able to select, from several choices, the actions a leader might employ to avoid resistance.	EO-2
B.3.c.2)	The M will be able to select, from several choices, the actions a leader might employ to suppress resistance.	EO-3
B.3.c.3)	The M will be able to select, from several choices, the actions a leader might employ to force resistance into the open.	EO-4
B.3.c.4)	The M will be able to select, from several choices, the actions a leader might employ to channel resistance into productive effort.	EO-5

Outline Reference	Terminal and Enabling Objectives	
B.3.c.4)b)	The M will be able to select, from several choices, the motivational effects of channeling resistance into productive effort.	TO 5 EO-6
B.4.	Given a description of a military situation in which a leader detects a lack of initiative and individuality in his subordinate leaders, the M will be able to analyze the situation and select, from several choices, the probable cause of the difficulty (misuse of his own authority).	TO 6
B.4.a.2)	The M will be able to select, from several choices, the actual cause of destruction of subordinate initiative and individuality which is usually attributed to subordination to authority.	EO-1
B.4.a.4)	The M will be able to select, from several choices, the recognition of his senior required of a subordinate by an authority relationship.	EO-2
C.	Given a description of a military situation which illustrates an officer using authority improperly, the M will be able to analyze the situation and select, from several choices, the statement which best describes the possible consequences of the officer's behavior.	TO 7
C.1.	The M will be able to select, from several choices, the statement which best describes the adverse consequences of overreliance on suggestion and persuasion.	EO-1

Outline Reference	Terminal and Enabling Objectives	
C.2.	The M will be able to select, from several choices, the statement which best describes the adverse consequences of overreliance on professional competence to control.	TO 7 EO-2
C.3.	The M will be able to select, from several choices, the statement which best describes the failure of a leader to recognize and use bases of influence other than authority.	EO-3
C.3.b.	The M will be able to select, from several choices, the statement which best describes the consequence of failure of a leader to recognize and use bases of influence other than authority.	EO-4
C.4.	The M will be able to select, from several choices, the statement which best describes a leader's arrogance with, or disregard for, his subordinates.	EO-5
C.4.b.	The M will be able to select, from several choices, the statement which best describes the probable result of a leader's arrogance toward, or disregard for, his subordinates.	EO-6
D.	Given a description of a military situation depicting a need for a leader to apply the principle of substitutional authority, the M will be able to analyze the situation and determine, from several choices, the factors in the situation which guide him to a determination of the proper application of authority.	TO 8

Outline Reference	Terminal and Enabling Objectives	
D.	Given a description of a military situation depicting a need for the application of essential authority, the M will be able to analyze the situation and select, from several choices, the factors which guide him to a determination of the proper application of authority.	TO 9
D.2.a.	The M will be able to identify, from several choices, the statement which correctly defines the concept of substitutional authority.	EO-1
D.2.b.	The M will be able to identify, from several choices, the statement which correctly defines the concept of essential authority.	EO-2
D.2.a.2)	The M will be able to select, from several choices, the reasons why a leader should not usually be required to apply the principle of substitutional authority over a prolonged period of time.	EO-3
D.2.c.	The M will be able to select, from several choices, the statement which describes why a leader should not use more authority than required by application of the principles of substitutional and essential authority.	EO-4

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Segment III

Delegation of Authority; Line-Staff Relationships

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

DELEGATION OF AUTHORITY; LINE-STAFF RELATIONSHIPS

A. Delegation of Authority

1. Definition

   a. Investing with formal authority to act for another (HumRRO, p. 264)

   b. Conferring authority from one executive to another to accomplish particular assignments (Terry, p. 338)

2. Concepts of delegation

   a. The entire process of delegation involves the assignment of tasks, the giving of authority for accomplishing these tasks, and the exaction of responsibility for their accomplishment. (Koontz and O'Donnell, p. 67)

   b. Through delegation, a junior leader is given the right to:

      1) Plan the activities of his unit.

      2) Direct the work of subordinate personnel.

   c. The senior retains all of his original authority (and his responsibility) and can reclaim delegated authority. (Terry, p. 338)

3. Importance of delegation (Terry, p. 339)

   a. Relieves the leader of routine, time-consuming work

   b. Develops a sense of responsibility among subordinates

   c. Provides organization depth, when required

   d. Improves morale by enhancing role of subordinate

4. The chain of command (scalar principle) (Haimann, p. 46)

   a. As previously mentioned, theoretically all authority in military establishment is lodged with the Commander-in-Chief. The Commander-in-Chief then delegates some of his authority to his subordinates, and subordinates successively delegate it to lower-echelon subordinates, thus characterizing the Chain of Command.

1) The chain of command must be clearly understood by every subordinate and must be closely adhered to, or the risk exists of undermining authority.

b. Deviation from the chain of command

1) Extract from U. S. Navy Regulations

1320.2 If an officer receives an order which annuls, suspends or modifies one received from another superior or one contrary to instructions or orders from the Secretary of the Navy, he shall exhibit his first orders, unless he has been instructed not to do so, and represent the facts in writing to the superior from whom the last order was received. If, after such representation, the latter shall insist upon the execution of his order, it shall be obeyed, and the officer receiving and executing it shall report the circumstances to the superior from whom he received the original order.

2) When deviation from the chain of command is necessitated by circumstances (emergencies, etc.), guidance can be derived from the above quoted paragraph.

B. The Process of Delegation (Haimann, p. 47)

1. Assignment of duties: The leader decides how the work is to be divided among his subordinates.

a. The leader examines his own functions and duties to determine which he can delegate to others and which he cannot assign to subordinates.

1) There are some duties which are so routine that there is no doubt that the leader would do best to assign them to one of his subordinates, e.g., routine administrative tasks.

2) There are other functions which he can delegate to subordinates who possess the necessary skills to perform them effectively, e.g., technical inspection of specialist activities.

3) There are functions which the leader cannot delegate and must do himself, e.g., authority for nonjudicial punishment cannot be delegated.

4) Decisions as to whether or not the leader can allocate a specific duty to a subordinate will often depend on the leader's general attitude and the subordinates he has available.

2. Principles governing delegation of authority (HumRRO, p. 265)

   a. Delegation of authority is essential to the development of effective leaders and military organizations.

   b. Decisions should be made by the individual who is as close to the action as possible.

   c. Authority must be commensurate with responsibility.

   d. Delegation should be made in clear, concise terms.

3. Determinants of degree of delegation (Longenecker, p. 264)

   a. Atmosphere of organization

   b. Nature of duties

      1) Decision to launch a missile is retained at highest level, while a decision to search a vessel off the coast of Vietnam is delegated to lower echelon.

   c. Nature of the delegator and delegatee(s)

   d. The training and experience of both the senior and the subordinate

   e. Length of time the senior has been in the organization

4. Barriers to delegation

   a. Time schedule and importance of tasks

   b. A senior who would like to delegate may be constrained by a higher echelon policy against delegation.

   c. Ego of senior requires him to retain authority and have subordinates come to him for decisions

   d. Delegator lacks security about his own status (fear of subordinate's growth potential).

5. Overcoming barriers

   a. Recognize barrier exists and classify it.

   b. If recognized as concerning subordinate:

      1) Take action to train subordinates to enable them to function properly.

      2) First step may be delegation of some authority to subordinate to build self-confidence.

3) Attitude and effort to train on part of senior are most conducive to motivating subordinates.

c. If barrier is concerned with senior, and possibly psychological in nature, recognition is unlikely unless a higher echelon senior takes action to correct.

1) Leader in position to delegate must recognize risk that subordinate may make mistakes and must be prepared to accept such a risk.

6. Dynamics of delegation (Albers, p. 279)

a. Delegation should be dynamic rather than static.

b. Seniors should increase authority of subordinate who functions well and gains experience.

c. The senior should revoke the authority of the subordinate who operates poorly when delegated authority.

7. Delegation by results expected (Haimann, p. 53)

a. Delegator states what he expects, when he expects it to be done, and by whom.

b. Reasons for delegation by results expected

1) Leads to real accomplishment by subordinate

2) Permits standards to be set and controls used

3) Subordinate then achieves success or fails on basis of his record

8. Control over delegated authority (Longenecker, p. 266)

a. Delegation - not abdication. Responsibility cannot be delegated.

b. Techniques of control

1) Preview with subordinate the direction of task

2) Periodic questioning and discussion

3) Requiring periodic reports

c. Implications of delegation of authority in naval service

1) Extract from U.S. Navy Regulations

> Article 1318. Delegation of Authority. The delegation of authority and the issuance of orders and instructions by a person in the naval service shall not relieve such person from any responsibility imposed upon him. He shall insure that the delegated authority is properly exercised and that his orders and instructions are properly executed.

2) The above-quoted extract from Navy Regulations clearly shows that leaders in the naval service are expected to delegate their authority, supervise the delegatees, and recognize their own responsibility for completion of all assigned tasks.

(Responsibility will be discussed in the next segment.)

C. Line and Staff Authority (NAVPERS 18371A, p.8)

1. Line authority

a. Definition: The basic authority in an organization which operates along a vertical hierarchy of commanders from the highest to the lowest echelons.

b. Line positions have command authority and responsibility for accomplishment of primary objectives.

c. Line authority indicates chain of command authority developed on the scalar principle, and delegated from the highest echelon.

2. Staff authority

a. Definition: Non-command authority which is concerned with investigating, planning, recommending, advising and assisting.

b. Staff positions have non-command authority and responsibility for providing advice and service to the line in the attainment of objectives, e.g., personnel, controller, legal, medical.

1) Translate decisions into plans and plans into orders.

2) Transmit orders to personnel involved.

3) Make continuous estimates.

4) Prepare tentative plans for possible future action for line's considerations. (Hays and Thomas, pp. 121-122)

c. Line may accept, reject, or change advice or service of staff.

d. When disagreement arises, line and staff have right to appeal to higher line authority, which in the military usually is a common higher authority.

3. Functional authority: When a commander choses to delegate to certain staff officer, or other subordinates a special authority status, it is termed "functional."

a. Definition: Command authority which is delegated to staff positions, but which is limited to a specific activity and is removed when that activity is completed

b. The staff officer with functional authority may issue orders to line personnel.

c. Advantages of functional authority

1) Makes best use of expert knowledge

2) Relieves commander of some of his burden of decision making in specialized functional areas.

d. Disadvantages

1) Potential lack of organizational stability

2) Initiative may be stifled.

e. By direction. The authority granted to subordinates to sign documents "by direction" of the commanding officers is NOT considered functional authority. It does permit the staff officer to sign routine orders and letters for the commander. (NavRegs, Art. 1608)

4. Line-staff relationships (Terry, p. 364)

a. Major problem areas (from line viewpoint)

1) Identification and utilization of staff authority

2) Recognition of the true line-staff relationship

3) Behavior of people

a) Line complains that staff tends to grab credit for successful work and blames line when work fails.

b) Staff officers tend to take advantage of their reporting to, and frequent access to, high ranking officers.

c) Staff assumes line authority.

1) Staff officer issues variety of orders in name of commanding officer through use of "by direction" authority when such authority is granted for specific areas only.

2) If such abuse occurs, subordinate leader has direct access to his commander for verification of commander's intentions.

d) Staff officers tend to overstress their own specialty and offer impractical, unbalanced assistance which doesn't reflect consideration of all ramifications of the situation.

b. Major problem areas (from staff viewpoint)

1) Line resists most new ideas and acts too cautiously and conservatively.

2) Line ignores staff and desires to run outfit as line sees fit.

3) Line fails to utilize staff capability or calls it in too late to realize maximum benefits.

4) Staff is not delegated adequate authority (commensurate with their expertise).

c. Improving relationship

1) Improve understanding of basic authority relationship by improving communications and training in:

a) Differentiation among staff authorities.

b) Clearly defined authority channels.

2) Develop a clear concept of actual interrelationship of line and staff.

a) Each staff member has authority for accomplishment of what he can best do.

b) Both line and staff personnel have essential tasks in accomplishing organization mission.

3) Stress interdependence, not separation (competition), of staff and line organizations and leaders. Teamwork accomplishes the mission.

d. Commander-staff-subordinate commander relationship (HumRRO, p. 347)

1) Staff officers must often directly contact subordinates of lower echelon commanders. The chain of command essentially is maintained since these contacts are in the name of the higher echelon and are advisory.

2) No strict definition of duties can completely clarify the complex dual relationship of the staff officer to his commander and the subordinate commander. The relationship varies greatly from one organization to another.

3) The effective staff officer must see himself serving the entire command and not as exercising the commander's authority. The staff officer should anticipate potential sources of friction and eliminate or avoid them.

4) The behavior and attitude of the senior commander are the governing factors in staff-line relationships.

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Outline Reference	Terminal and Enabling Objectives	
A.	The M will be able to select, from several choices, the statement which best clarifies the relationship between delegation and the chain of command.	TO 1
A.1.	The M will be able to select, from several choices, the definiton of delegation (of authority).	EO-1
A.2.b.	The M will be able to select, from several choices, the functions which can accrue to a junior officer through the process of delegation.	EO-2
A.2.a.	The M will be able to select, from several choices, the statement which correctly relates the following terms in the delegation process: tasks, authority, responsibility, delegate, assign and exact.	EO-3
A.3.	Given a description of a military situation in which a leader assigns tasks and delegates appropriate authority to his subordinate(s), the M will be able to select, from several choices, the reason(s) why the leader chose to delegate authority in the situation.	TO 2
A.3.	The M will be able to select, from several choices, the reason(s) why delegation is important to a leader.	EO-1
A.3.	The M will be able to select, from several choices, the reason(s) why delegation of authority is important to a subordinate.	EO-2

Outline Reference	Terminal and Enabling Objectives	
A.4.a.1)	Given a description of a military situation in which the chain of command is not followed in an organization, the M will be able to select, from several choices, the risk involved in such action (undermine authority and ultimately undermine the mission)	TO 3
A.4.a.	The M will be able to select, from several choices, the correct statement of the scalar principle.	EO-1
A.4.a.	The M will be able to select, from several choices, the statement which expresses the scalar principle rule.	EO-2
A.4.b.	Given a description of a military situation in which a junior officer acting under orders from a non-chain of command senior, the M will be able to select, from several alternative actions, the proper action of the junior officer.	TO 4
B.	Given a description of a military situation in which a junior officer is examining his own duties to determine which he should delegate to his subordinates, the M will be able to select, from several choices, the duties which would be appropriately delegated.	TO 5
B.1.	The M will be able to select from several choices, the guidelines by which a leader decides how work is to be divided among his subordinates.	EO-1

Outline Reference	Terminal and Enabling Objectives	
B.2.	Given descriptions of military situations requiring an officer to delegate authority, the M will be able to analyze the situation and select, from several choices, the principle(s) governing delegation applicable to the situation.	TO 5 EO-2
B.2.	The M will be able to select, from several choices, the statements which correctly set forth principles governing delegation of authority.	EO-3
B.3.	The M will be able to select, from several choices, the statements which describe the process by which a leader determines the degree of authority he will delegate to his subordinates.	EO-4
B.3.	Given descriptions of military situations in which various determinants of the degree of delegation are illustrated, the M will be able to analyze the situation and select, from several choices, the determinant illustrated and the effect it should have on delegator's decision about the degree of delegation.	TO 6
B.3.c.	Given several statements about conditions affecting the decision to delegate, the M will be able to select those statements which describe barriers to delegation.	TO 7
B.3.c.	The M will be able to select, from several choices, the barriers to delegation.	EO-1

Outline Reference	Terminal and Enabling Objectives	
B.4.	Given a description of a military situation in which a senior recognizes a barrier(s) to delegation in his subordinate, the M will be able to select, from several choices, the action the senior should take to overcome the barrier.	TO 8
B.4.b.	The M will be able to select, from several choices, the action a senior should take to overcome barriers he recognizes in his subordinates.	EO-1
B.4.c.1)	The M will be able to select, from several choices, the statement which best defines the risk to delegator and the requirement that delegator accept reasonable risk by exhibiting confidence in subordinates.	EO-2
B.5.	The M will be able to select, from several choices, the statement which best explains why delegation should be dynamic rather than static.	EO-3
B.6.	Given a description of a military situation wherein a junior officer is delegating authority by results expected procedure, the M will be able to select from several choices, the method of delegation being employed by the junior officer.	TO 9
B.6.	The M will be able to select, from several choices, the statement which best explains the concept of delegation by results expected.	EO-1
B.6.b.	The M will be able to select, from several choices, the reasons why delegation by results expected is used by leaders.	EO-2

Outline Reference	Terminal and Enabling Objectives	
B.7.	Given descriptions of military situations in which junior officers are exercising control of delegated authority, the M will be able to analyze the situations and select, from several choices, the correct or incorrect techniques of control.	TO 10
B.7.	The M will be able to select, from several choices, the statement which best explains the need for continuing control over delegated authority.	EO-1
B.7.b.	The M will be able to select, from several choices, the proper techniques of control over delegated authority.	EO-2
B.7.c.	The M will be able to select, from several choices, the obligations placed upon leaders in the Naval service by the article in Navy Regulations pertaining to delegation of authority. (NavRegs, Art. 1318)	EO-3
C.	Given a diagram of a shipboard organization, the M will be able to select, from lists of billets, the positions which have line authority and those which have staff authority.	TO 11
C.1.a.	The M will be able to select, from several choices, the statement which defines and describes line authority.	EO-1
C.2.	The M will be able to select, from several choices, the statements which define and describe staff authority.	EO-2

Outline Reference	Terminal and Enabling Objectives	
C.2.b.	The M will be able to select, from a list of functions, the functions that are performed by staff personnel.	EO-3
C.2.d.	The M will be able to select, from several choices, the requirement placed on line upon receiving advice or service from staff.	EO-4
C.2.c.d.	Given a description of a military situation in which a line officer and a staff officer are unable to agree concerning action requested by the staff officer, the M will be able to select, from several choices, the next step to be taken by the two officers involved.	TO 12
C.2.d.	The M will be able to select, from several choices, the procedure to be followed in the case of disagreement arising between line and staff.	EO-1
C.3.	The M will be able to select, from several choices, the statement which best describes the change in authority of a staff officer who is delegated a functional authority.	TO 13
C.3.a.	The M will be able to select, from several choices, the definition of functional authority.	EO-1

Outline Reference	Terminal and Enabling Objectives	
C.3.	Given a description of a military situation depicting a subordinate leader receiving orders from his superior and from staff officers with functional authority, the M will be able to analyze the situation and select, from several choices, the advantages and disadvantages of functional authority illustrated by the situation.	TO 14
C.3.c.d.	The M will be able to select, from several choices, the advantages and disadvantages of functional authority.	EO-1
C.3.e.	The M will be able to select, from several choices, the statement which specifies the authority relationship conveyed by delegation of authority to sign correspondence "by direction."	EO-2
C.4.d.4)	The M will be able to select, from several choices, the governing factors in staff-line relationship.	TO 15
C.4.	Given a description of a military situation in which a line subordinate of a commander and a member of the commander's staff are encountering difficulty, the M will be able to select, from several choices, the source of the difficulty.	TO 16
C.2.d.	The M will be able to select, from several choices, the recourse available should they be unable to resolve the difficulty.	EO-1

Outline Reference	Terminal and Enabling Objectives	
C.4.a.b.	The M will be able to select, from several choices, major problems arising in the line-staff relationships from the line viewpoint and from the staff viewpoint.	EO-2
C.4.c.	The M will be able to select, from several choices, the steps available to improve staff-line relationship.	EO-3
C.4.d.1)	The M will be able to select, from several choices, the statement which best clarifies the effect on the chain of command relationship when a staff officer directly contacts the subordinates of lower-echelon commanders.	EO-4
C.4.d.2)	The M will be able to select, from several choices, the statement which best defines the relationship of staff officer to his commander and the subordinate commander.	EO-5
C.4.d.3)	The M will be able to select, from several choices, the statement which best describes the viewpoint an effective staff officer should have concerning his function.	EO-6

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART SIX

AUTHORITY AND RESPONSIBILITY

Segment IV

Responsibility

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

PART SIX - AUTHORITY AND RESPONSIBILITY

Segment IV - Responsibility

A. Responsibility

1. The Commanding Officer

a. Extract from U. S. Navy Regulations 0701, Responsibility of the Commanding Officer

1. The responsibility of the commanding officer for his command is absolute, except when, and to the extent, relieved therefrom by competent authority, or as provided otherwise in these regulations. The authority of the commanding officer is commensurate with his responsibility, subject to the limitations prescribed by law and these regulations. While he may, at his discretion, and when not contrary to law or regulations, delegate authority to his subordinates for the execution of details, such delegation of authority shall in no way relieve the commanding officer of his continued responsibility for the safety, well-being, and efficiency of his entire command.

2. A commanding officer who departs from his orders or instructions or takes official action which is not in accordance with such orders or instructions, does so upon his own responsibility and shall report immediately the circumstances to the officer from whom the prior orders or instructions were received.

b. Definition: The obligation which is exacted from an individual to accomplish the duties which have been assigned to him within an organization; the obligation of a subordinate to perform the duty as required by his superior. (NAVPERS 15890, p. 3; Terry, pp. 378-379; Koontz and O'Donnell, p. 65; Haimann, p. 56)

2. Relationship between authority and responsibility (Haimann, p. 56)

a. The authority to perform and accomplish a specific task flows from the superior (senior) to the subordinate, and responsibility is the obligation which is exacted from the subordinate to accomplish the task.

b. When an individual delegates authority, he cannot abdicate his responsibility. (Cope, p. 486)

1) Ultimate responsibility is retained, even though authority may be delegated to another and responsibility exacted from him.

c. Responsibility involves a series of delegator-delegatee (senior-subordinate) relationships.

1) Subordinate, however, is responsible only to the immediate senior from whom he received his authority.

d. Authority and responsibility should be commensurate. (Haimann, p. 58)

1) When duties are assigned and responsibility exacted for accomplishment of those duties, sufficient authority to perform the duties must be delegated to the subordinate being held responsible, because responsibility can be exacted only to the extent that decision-making authority is delegated.

2) Inequality between delegated authority and assigned responsibility produces undesirable results.

a) If authority exceeds responsibility, misuse or abuse of authority may result.

b) Responsibility without adequate authority may embarrass and frustrate delegatee and diminish his loyalty to organization.

c) There are exceptions, e.g., in an emergency when executives sometimes exceed their delegated authority without criticism.

e. Occasionally, when a subordinate is delegated authority to accomplish a task, he cannot accomplish the task despite his best efforts. He can be held <u>responsible only</u> for best use of his efforts, e.g., quota for recruits cannot be filled.

f. When a subordinate accepts responsibility, and commensurate authority, it becomes "fixed", i.e., the obligation is squarely upon the subordinate to carry out the function promptly and efficiently.

1) Helps to develop the subordinate

2) Assists in getting the work accomplished

3) Minimizes "buck passing" (Terry, p. 381; Cope, p. 486)

B. Responsibility in a Military Organization

1. Toward mission accomplishment (Haimann, p. 57)

   a. Viewed internally with respect to the mission, responsibility may be defined as the obligation of a subordinate (to whom a duty has been assigned) to perform the duty, i.e., the essence of responsibility is obligation.

   b. In order to accomplish the mission, delegation of authority, with commensurate responsibility, must take place throughout the organization

2. Conflicting responsibility

   a. Conflicting responsibilities are ranked according to priority. The mission always has top priority. (Hays and Thomas, p. 32)

   b. Dual subordination should be avoided.

      1) Principle: An individual cannot serve two masters well

      2) Exceptions may be encountered by a junior officer when he is assigned additional duties for which he is responsible to a senior who is not his regular senior.

3. Assignment of responsibility as result of deviation from authority

   a. As cited earlier, Navy Regulations assign responsibility to the commanding officer who deviates from his orders. (NavRegs,Art.0701.2)

   b. This concept would also apply to any person in authority, who for any reason (e.g., role conflict) deviates from his orders. He must accept the responsibility for his decision and make report to the senior from whom he received the orders which he failed to follow.

4. Responsibility and the junior officer

   a. A principle of leadership states that an effective leader seeks responsibility and develops a sense of responsibility among his subordinates.

      1) Seeking leadership

         a) Reasons why people seek leadership

            (1) Job satisfaction for leaders

            (2) Job satisfaction for followers

2) Understudy functions of senior thoroughly to be prepared to accomplish any assigned task at any time the opportunity presents itself. Junior officer can then seek additional responsibility and accomplish it well, e.g., prepare diligently and quickly for OD underway qualification, or seek variety of assignments to gain experience to enhance command qualifications.

3) Junior officer should enable subordinates to improve their qualifications and sense of responsibility by proper delegation of authority to qualified personnel with appropriate reward for good performance when greater responsibility is exacted. Proper delegation of authority is motivating to subordinates.

C. Moral Responsibility

1. Definition: The obligation of each military leader to promote and safeguard the personal, moral, physical, and spiritual well-being, and the general welfare of the personnel under his authority. (NAVPERS 15890, p. 3)

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Outline Reference	Terminal and Enabling Objectives	
A.	The M will be able to select, from several choices, the statement(s) which best clarifies the meaning of the NavRegs Art.0701 statement to the effect that the responsibility of the commanding officer is absolute.	TO 1
A.2.	Given several statements about authority and responsibility, the M will be able to select the statement(s) which correctly describe(s) the relationship between authority and responsibility.	TO 2
A.1.b.	The M will be able to select, from several choices, the statement which correctly defines responsibility.	EO-1
A.2.b.	The M will be able to identify, from several choices, the statement which describes the effect delegation of authority has on a leaders responsibility.	EO-2
A.2.b.1)	The M will be able to identify from several choices, where ultimate responsibility lies in the hierarchy of delegated authority.	EO-3
A.2.c.1)	Given the statement that responsibility involves a series of delegator-delegatee relationships, the M will be able to select, from several choices, the level(s) of delegation to which a subordinate may be held responsible.	EO-4

Outline Reference	Terminal and Enabling Objectives	
A.2.d.	The M will be able to identify, from several choices, the statement which correctly defines the relationship to be maintained between authority and responsibility.	EO-5
A.2.d.2)	Given a list of statements, the M will be able to select those which identify the consequences of responsibility outweighing authority.	EO-6
A.2.e.	Given a description of a situation in which a leader delegates authority to subordinate to accomplish a certain task, but the task accomplishment involves forces or situations over which neither leader nor follower has any authority, the M will be able to select, from several choices, the responsibility which can be exacted from the subordinate should the task not be accomplished.	EO-7
A.2.f.	The M will be able to select, from several choices, the statement which correctly identifies the positive consequences of subordinate's accepting responsibility.	EO-8
A.2.	Given several statements which use the terms authority and responsibility, the M will be able to select those which use the terms correctly.	EO-9

Outline Reference	Terminal and Enabling Objectives	
B.1.	Given a description of a military situation in which a leader, assigned a task with appropriate delegated authority to accomplish it, faces a conflict between accomplishing the assigned task or doing something else he personally wants to do, the M will be able to select, from several courses of action, the appropriate action for the leader to take.	TO 3
B.1.a.	The M will be able to select, from several choices, the statement which correctly defines responsibility, when viewed internally with respect to the mission.	EO-1
B.1.b.	The M will be able to select, from several choices, the statement which correctly explains the relationship of the organizational hierarchy to delegation of authority with commensurate responsibility.	EO-2
B.2.	Given a description of a military situation in which a leader faces a role conflict, the M will be able to identify, from everal choices, the roles of the leader which are in conflict.	TO 4
B.2.a.	Given a list of possible responsibilities, the M will be able to select the responsibility which has top priority.	EO-1
B.2.b.	The M will be able to identify, from several choices, the statement which correctly describes the consequences of dual subordination.	EO-2

Outline Reference	Terminal and Enabling Objectives	
B.2.b.	The M will be able to select from several choices, a dual subordination situation which a junior officer might encounter.	EO-3
B.3.	Given a description of a military situation in which a leader reaches a decision to deviate from his orders, the M will be able to select, from several courses of actions, the action required of the leader after such deviation.	TO 5
B.3.b.	The M will be able to select, from several choices, the result of a leader deviating from his delegated authority.	EO-1
B.4.a.	Given a description of a military situation in which a junior officer has an opportunity to accept or reject responsibility, the M will be able to select, from several alternative courses of action, the action the junior officer should take.	TO 6
B.4.a.1)	The M will be able to select, from several choices, the statements which specify how a junior officer may apply the part of the principle of leadership which states "seek responsibility."	EO-1

Outline Reference	Terminal and Enabling Objectives	
B.4.a.	Given a description of a military situation in which a junior officer has an opportunity to motivate his subordinates by delegation of authority, the M will be able to select, from several choices, the proper response of the junior officer to the opportunity.	TO 7
B.4.a.3)	The M will be able to select, from several choices, the statements which specify how a junior officer may apply that part of the principle of leadership which states that a leader should develop a sense of responsibility among his subordinates.	EO-1
C.	Given a description of a military situation illustrating a leader safeguarding or not safeguarding the welfare/well-being of his subordinates, the M will be able to select, from several choices, the area of moral responsibility involved.	TO 8
C.	Given a description of a military situation in which a leader is faced with a requirement for action on his part to safeguard the moral welfare of his men (or spiritual or general welfare), and he takes action, the M will be able to select, from several choices, the statement which best assesses the adequacy of the moral responsibility of the junior officer.	EO 9
C.1.	The M will be able to identify, from several choices, the statement which correctly defines moral responsibility.	EO-1